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Army Programs

TRADOC STUDIES AND ANALYSES

**Summary.** This regulation is revised to reflect new management policy concerning TRADOC studies. This regulation establishes policy, guidance, and responsibility for starting, conducting, and managing TRADOC studies and analyses.

**Applicability.** This regulation applies to TRADOC elements which conduct studies through the TRADOC Study Program, and studies which meet all criteria for AR 5-5 but spend less than 0.5 professional staff years (PSY) of effort.

**Supplementation.** Do not supplement this regulation without approval from Commander, TRADOC, ATTN: ATAN-AP, Fort Monroe, VA 23651-5143.

**Suggested Improvements.** Send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) through channels to Commander, TRADOC, ATTN: ATAN-AP, Fort Monroe, VA 23651-5143.

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- 1. Purpose.** This regulation establishes the policy, guidance, and responsibility for starting, conducting, and managing individual TRADOC studies. The objectives of this regulation are to —

  - a. Ensure TRADOC performs studies, which result in timely quality products satisfying the sponsors' analysis needs.
  - b. Ensure that all TRADOC studies are analytically sound and approved by TRADOC before presentation in any form outside of TRADOC.
  - c. Identify responsibilities for studies.

**2. References.** Appendix A contains a listing of the required and related publications.

**3. Explanation of abbreviations and terms.** The glossary contains abbreviations and explanations of special terms used in this regulation.

**4. Responsibilities.**

  - a. Commanding General (CG), TRADOC will —
    - (1) Approve the TRADOC Study Program for each fiscal year.
    - (2) Sponsor all TRADOC major studies.
    - (3) Approve or delegate approval authority for all major studies.
  - b. Deputy Chief of Staff for Analysis (DCSA), will —
- (1) Manage the TRADOC Study Program.
  - (2) Perform those front end tasks necessary to enter unprogrammed studies into the approved study program if appropriate.
  - (3) Prepare mission orders for unprogrammed study executions.
  - (4) Develop, staff, and recommend policies and regulations about studies and analyses (TRADOC Regs 5-2, 5-3, 5-4, 11-8, 350-32 and TRADOC Pam 11-8).
  - (5) Approve release of major and non-major study results (in DCSA area of interest) outside of TRADOC.
  - c. Deputy Chief of Staff for Concepts, Doctrine, and Developments (DCSCDD), will —
    - (1) Act as study sponsor for CG, TRADOC designated concept, doctrine, intelligence, and combat developments studies affecting major HQDA programs.
    - (2) Approve release of major and non-major study results (in DCSCDD area of interest) outside of TRADOC.
    - (3) Distribute manpower and funds for studies IAW DCSCDD priorities and available resources.
  - d. Deputy Chief of Staff for Training (DCST), will —
    - (1) Act as study sponsor for CG, TRADOC designated major training studies.

\*This regulation supercedes TRADOC Regulation 11-8, 29 March 1985.

(2) Sponsor all non-major training studies, whether they stand alone or are part of other studies.

(3) Approve and release study plans for each training study sponsored or funded by the DCST.

(4) Approve release of major and non-major training studies outside TRADOC.

(5) Distribute manpower and funds for studies in accordance with (IAW) DCST priorities and available resources.

e. Deputy Chief of Staff for Resource Management (DCSRM), will distribute appropriate manpower and funds as stated in TRADOC Reg 5-3, paragraph 1-4e.

f. CGs, U. S. Army Combined Arms Command (USACAC) and Combined Arms Support Command (USACASCOM), will-

(1) Approve the study plan and report for major studies as a Deputy Commanding General when CG, TRADOC, so delegates.

(2) Approve the study plan and report for non-major studies applicable to the current mission and organization within TRADOC unless reserved to a HQ TRADOC DCS or delegated to a TRADOC center/school.

(3) Act as sponsor for specified non-major studies.

g. CG, TRADOC Analysis Command (TRAC) will —

(1) Act as the study agent for all major studies within TRADOC unless otherwise identified in the TRADOC Study Program or directed by DCSA.

(2) Certify the study plan and report for all major studies within TRADOC.

(3) Certify those high-visibility non-major studies which are identified as requiring certification.

h. Commandants, TRADOC Services Schools and Centers will —

(1) Serve as study agent when so designated by mission order.

(2) Sponsor self-initiated studies and other studies where the designated Major Subordinate Command (MSC) Commander or HQ TRADOC specifies.

(3) Approve the study plan and report for non-major studies when so delegated.

## **5. Study coverage.**

a. This regulation applies to all studies included in the TRADOC Study Program unless specifically excluded. Specification of certification and approval procedures for analysis performed in support of excluded studies is the responsibility of the support agency. Excluded studies are —

(1) Studies and actions not included in the TRADOC Study Program which may still have analytical support requirements in the program (an example is Source Selection and Evaluation Board support).

(2) Those study efforts which are in the program but which have their own procedures for approval (examples are scenario development and major concept development).

(3) Those study efforts excluded from the study program because they fall in the dedicated mission or staff activity class (e. g., Army Modernization Memorandum and The Modern Army Recordkeeping System).

b. Those studies covered by other published regulations or performed as good management practice but not governed by specific regulations (e. g. commercial activities, training base studies, and economic analyses of activities, things or events having no tactical application).

## **6. Study policy.**

a. General. The policies set up by this regulation provide a disciplined management approach to the preparation of TRADOC analytical products - from identification of a need through certification and approval to the release of the final product.

(1) Department of Defense, Department of the Army, and Headquarters TRADOC directives, regulations, and instructions provide the basic framework for conducting specific types of analyses (e. g, cost and operational effectiveness analyses, economic analyses, training effectiveness analyses, etc. ). Although TRADOC study agencies must follow regulatory guidance, they must tailor the scope of any analysis to the unique requirements of the study effort.

(2) Study agencies must wisely invest studies and analyses resources and focus on providing quality analytical information to support a time sensitive decision making environment. Design studies to answer the primary decision making issues. They cannot be carrier vehicles to produce nice-to-know information not relative to an upcoming decision.

b. Study management. The primary study management tool for TRADOC is the TRADOC Study Program. TRADOC program management procedures for studies covered under this regulation are contained in TRADOC Reg 5-3.

c. Study Types. TRADOC performs studies and analyses to support internal mission needs, and to support higher headquarters with analyses for which CG, TRADOC, has responsibility (e. g., COEA). TRADOC classifies each study and analysis as one or more of the following types:

(1) Programmed Studies. Study Agencies and MACOMs submit studies for approval and programming as part of their annual study program. CG, TRADOC approves the Fiscal Year TRADOC Study Program after reviewing submissions. The release of the approved TRADOC Study Program directs the study agency to begin work on those studies at the set start date. The CG, TRADOC approved study program is a contract for the study agency to conduct the study and complete it

within the estimated completion date. The study agency must negotiate program changes with the study sponsor. The Deputy Chief of Staff for Analysis (DCSA) is the approval authority for exceptions to the program. Figure 1 outlines responsibilities for major and non-major studies.

(2) Unprogrammed studies. Unprogrammed studies are those initiated after approval of the fiscal year TRADOC Study Program. DCSA in coordination with the other Deputy Chief of Staff (DCS) and the responsible MSC review these study requirements. If a study is required, DCSA will work with the appropriate DCS to reprogram resources for the study through trade-offs in

the approved Study Program. TRADOC will assign a study priority number, enter it in the Study Program, and list it in the TRADOC Study Summary Report. DCSA will issue a mission order to execute the study.

(3) Major Studies. CG, TRADOC, through the TRADOC Study Program, or DCSA, by mission order designates a study as major due to the level of interest, impact of funding resourcing, or significant joint or combined operations. Major studies normally include Defense Acquisition Board (DAB), Army System Acquisition Review Council (MARC) Acquisition Category 1c or 1d, and Acquisition Category II managed program COEA.

	MAJOR	NON-MAJOR	COMMENTS
TRADOC Study Sponsor	Cdr TRADOC	TRADOC DCS, MSC, Center/School	Sponsor is highest level organization establishing need for study.
Mission Order Issuance	*Cdr TRADOC	*Cdr TRADOC	*Normal mission order is Cdr TRADOC approved Study Program.
	** DCSA	**DCSA	**DCSA issues mission orders for unprogrammed studies
		***MSC,Ctr/School	***May use in-house resources without a mission order. Certification and Approval not req'd if results stay within sponsoring Command.
Study Agency	* TRAC	MSC, Ctr/School	*On an exception basis, could be MSC, Ctr/School if per mission order.
Study Planning	Study Agency	Study Agency	Study Director accomplishes all tasks in development of study plan.
Study Contributors	MSC, Ctr/School, Non-TRADOC Agencies	MSC, Ctr/School, Non-TRADOC Agencies	Study plan is contracting vehicle for support to the study.
Study Certification (Plan and Report)	Cdr TRAC	*Cdr TRAC or designated Director	*Certification required only if specified in mission order (program).
Study Approval (Plan and Report)	Cdr TRADOC or designated DCG	* Proponent Cdr/Cmdt	*Approval reserved to a HQ TRADOC DCS or MSC Cdr if specified in mission order (program).

**Figure 1. Responsibilities for Major and Non-major Studies**

(4) High Visibility Non-major Studies. The TRADOC Study Program or TRADOC DCSA designates a study as high visibility non-major due to interest, funding, resourcing, or level of involvement. TRADOC normally prioritizes these studies below the major studies. Acquisition Category II and III program studies may fall in this designation.

(5) Non-major Studies. Non-major studies are normally small studies such as requirement studies, research studies, or studies of internal interest. Acquisition Category III and IV program studies may fall in this area.

(6) Internal studies. Study agencies start these studies within their organization, conduct them internally using internal resources or contract support, and intend them for their own use. TRADOC MSCs, centers and schools may conduct studies with their organic resources. They can begin this type of study without a TRADOC mission order. The study agency submits such studies for inclusion in the TRADOC Study Program and TRADOC Study Summary Report if applicable. Internal studies do not require certification. However, the study agency requires appropriate release approval as defined in paragraph 4 before presenting it outside of TRADOC.

(7) Analytic support. Agencies within or outside of TRADOC may require TRADOC analytic support. The analytic support to outside agencies requires TRADOC approval to release the analysis product in the same manner as for TRADOC studies. Analysis supporting a programmed study is certified and approved (if required) with that study. DCSA will prepare a mission order for unprogrammed analyses in the same way as for unprogrammed studies. The TRADOC Study Program will account for analytic support for major efforts identified in paragraph 5a (1),(2), and (3) above.

(8) Contracted studies and reports. A contracted study is performed entirely by the contractor and provided to a Government agency. Contracted study support is an effort which someone other than a Government organization performs as a portion of a government project or effort. This support is completed by the contractor and provided to the Government agency. This contracted portion of a study is part of the Government study agency's product. Per guidance found in TRADOC Reg 5-3, paragraph 4-3, if TRAC is to certify a study, the TRAC element will review the Management Decision Document (MDD) and the Performance Work Statement (PWS) developed for the study. Commander, TRAC, may certify designated TRADOC agency study products containing contracted study support. However, the TRAC Commander does not certify fully contracted studies since they are not a TRADOC product. The review of the MDD and PWS must serve as 'certification' for full contracted studies.

(9) Cost and economic analyses. Cost analysis is an integral part of almost every study. TRADOC cost analyses focus on realism and the determination of the meaning of the costs relative to the decision to be made.

The agency doing the cost analysis will prepare a cost analysis plan. The study agency will integrate this plan into the overall study plan. The study director will integrate the cost analysis into the study report. The DCSA or TRAC reviewer, depending upon the level of the study, will perform a cost certification review for both the cost plan and the cost analysis itself. The cost review agency recommends certification of the cost analyses to the appointed certifier. Normally, the DCSA recommends cost certification for major, high-visibility and TRAC performed cost analyses. The TRAC reviewer, recommends certification for non-TRAC costed, non-major studies.

#### d. Study procedure.

(1) Mission order. A mission order begins each TRADOC study. The TRADOC Study Program approved by CG, TRADOC is the mission order for all programmed studies. For an unprogrammed study or analysis, DCSA will send a mission order to the study agency. The mission order will be concise and contain information necessary for the appointed study agency to select a study director and begin study planning. (App B contains the outline of an unprogrammed mission order).

(2) Study director. The study director is responsible for the planning, conduct, and completion of a study. The study director is the most important person in assuring the successful completion of a study. The study director will conduct thorough front-end analysis of the problem statement to define the critical analytical issues, secure cooperation and agreement among study participants, develop alternatives (if appropriate), and coordinate study milestones. He/she must remain in constant contact with the study sponsor and study certification agency, keeping them fully informed of study progress and unfolding results.

(3) Study scope. The study agency will develop and tailor the study to answer the critical questions of the study sponsor. The level of effort will vary from study to study. The study director and approving authority will address each request to consider additional questions and issues to determine the need and impact of the add-on requirements. The study director will be sure that resources are available to address additional issues before committing TRADOC to additional work. The TRADOC study director will recommend to the approving authority whether the add-on tasking is analytically necessary to support a specific decision making issue. Tailoring the scope of an analytical effort to the specific, minimum essential information needed to support decision making, properly focuses and programs scarce analytical resources to provide quality products. Logic and reason, rather than a checklist procedure, must be the basis for planning and programming of TRADOC studies.

(4) Study plan. The study plan is the execution order for the conduct and implementation of the study. The plan lays out in enough detail the "what, why, where, how, when, and who" to ensure that the study director and the study team understand the question asked. The plan

develops an analytical methodology which is both necessary and sufficient, and sets a schedule which identifies the critical path and risks for completion. The plan also links personnel and dollar resources required to complete the product. The plan helps provide a high quality, TRADOC approved study report on time to the user or sponsor. The study plan is also the initial contract between the study director and the study sponsor. In study plan development, the director must consider contingencies that may occur from identification of the need through delivery of the analytical product. Contingency plans may not be executed, but provide alternate routes for providing the analytical information needed, if the primary methodology fails in part or in whole. The study director must prepare and fully coordinate the study plan with all participating agencies prior to submitting it for certification and approval. Once approved, the study plan becomes the implementing order to supporting organizations.

(5) Study oversight. The DA or TRADOC sponsor may establish a Study Advisory Group (SAG) or a General Officer Steering Committee (GOSC) (for major or high visibility studies) to periodically review the programs of a study and provide guidance and direction. With or without a SAG/GOSC, the study plan milestones should include a series of In Progress Reviews (IPR) to inform the involved parties of a study's progress and to seek feedback. These IPR are internal reviews called by the study agency. They may include outside agencies. At a minimum, they should include the certification and approval authorities to keep them informed of key study events and study progress throughout its conduct.

(6) Study completion. A study documented, certified (if required), approved and delivered to the sponsor is a completed study. Study results in any form (i. e., briefings, draft reports or final executive summary and/or report) will not be released outside TRADOC without permission of the appropriate authority as defined in paragraph 4 above. Studies whose results will not be used outside the study agency do not require certification and approval. Secure permission for release outside TRADOC from the HQ TRADOC release authority. For programmed studies, refer to the TRADOC Study Program to determine certification and approval requirements.

e. Certification procedure. The study certification process ensures that TRADOC provides quality products and credible analyses for Army and Department of Defense (DOD) use. The Commander, TRAC is responsible for the quality of TRADOC studies and analyses. TRADOC certification is therefore the responsibility of the Commander, TRAC or designated subordinate TRAC directors. The Commander, TRAC, will certify all major and designated high visibility studies of the TRADOC study program. Certification procedures are the same for the study plan as for the study report.

(1) Initiation. Upon study initiation, the study

agency contacts the appropriate TRAC certification agency to identify POCs and determine appropriate milestones.

(2) Study plans. The mission order will designate the studies that require a certified study plan. Before certification, the study agency will coordinate the study plan with all agencies involved in the study. This includes copies to the certification review agency, cost analysis review agency, study sponsor, and the appropriate support agency. Forward the final study plan to the proper certification review agencies. The certification review ensures that the study issues and alternatives as developed will fulfill the decision maker's information needs. The certification review agency will review the study plan to be sure that the methodology, Essential Elements of Analysis (EEA), Measures of Effectiveness (MOE) and/or Performance (MOP) provide a sound analytical basis for meeting the study objectives. It will ensure the methodology is based on sound analytic techniques and uses appropriate tools, standard TRADOC scenarios, and the best data available. As appropriate, the certification review agency (and the cost reviewer, if appropriate) will or will not recommend plan certification.

(3) Study progress. The study agency will update the certification agency on study progress and/or problems throughout the study.

(4) Study reports. The review agency will handle a coordinating draft report in the same manner as the study plan. The sooner the study agency sends this draft to the review agency, the quicker the review agency can complete the certification process. The analyses must support the study conclusions and fully answer the identified issues. The study product must also be of high quality to attain certification. The review agency (and the cost reviewer if appropriate) recommends certification. The certification agency will forward the study product for approval, unless otherwise stated in the study plan.

f. Approval procedure. The TRADOC approval process makes sure that the study answers the sponsor's questions.

(1) The approval authority for the study plan and final report for major studies is the CG, TRADOC, or the Commander's delegated DCG, TRADOC. The TRADOC Study Program will identify the approving authorities for all studies in the TRADOC Study Program. The approval authority for the study plan and final report for non-major studies can be the CG, TRADOC, TRADOC DCS, MSC, or center/school Commander.

(2) Study reports are not to be released outside TRADOC without the concurrence of the HQ TRADOC study sponsor. The study director will receive prior approval to place completed studies designated for certification and approval in the Defense Technical Information Center (DTIC). For studies not designated for certification and approval, placement of the completed

report in DTIC is a decision of the study agency's commanding general. The study agency will designate them as Technical reports and the reports will have the study agency's CG approval before placement into DTIC.

**Appendix A**  
**Reference Publications**

**Section I**  
**Required Publications**

AR 5-5  
Army Studies and Analyses

TRADOC Reg 5-3  
The TRADOC Study Program

TRADOC Reg 350-32  
The TRADOC Training Effectiveness Analysis (TEA) System

TRADOC PAM 11-8  
Studies and Analysis Handbook

**Section II**  
**Related Publications**

AR 11-18  
The Cost and Economic Analysis Program

AR 70-1  
Systems Acquisition Policy and Procedures

TRADOC PAM 70-2  
TRADOC/AMC Materiel Acquisition Handbook

AR 71-9  
Materiel Objectives and Requirements

AR 5-14  
Managing Analytical Support Services

DA PAM 5-5  
Guidance for Study Sponsors, Study Directors, Study Advisory Groups and Contracting Officers Representatives

FM 101-5  
Staff Organization and Operations

TRADOC Reg 5-2  
Data Support for U.S. Army Training and Doctrine Command (TRADOC) Studies

TRADOC Reg 5-4  
TRADOC Models

TRADOC Reg 71-4  
TRADOC Scenarios for Combat Developments

DODD 5000.1  
Defense Acquisition

DODI 5000.2  
Defense Acquisition Management Policies and Procedures

DODI 5000.2M  
Defense Acquisition Management Documentation and Reports

**Appendix B**  
**Mission Order for Unprogrammed Studies**

DCSA will issue mission orders for studies not contained (unprogrammed) in the approved FY Study Program to start study effort. In general, the orders will contain only that information necessary to give the study agency a starting point for study planning. An outline for the mission order is as follows:

- SUBJECT
- REFERENCES (IF ANY)
- PURPOSE (ADMINISTRATIVE REASON FOR THE STUDY, E. G., PREPARATION FOR AN ASARC)
- BACKGROUND (SHORT STATEMENT)
- MISSION STATEMENT (E.G., THE NEED TO DO A COEA, ETC. )
- GENERAL
- \* MAJOR OR NON-MAJOR
  - \* STUDY SPONSOR
  - \* STUDY AGENCY
  - \* PRIORITY (IF CONFLICTING WITH OTHER PROGRAMMED STUDIES) - CERTIFICATION NEED
  - \* APPROVAL AUTHORITY
  - \* STATEMENT CONCERNING SPONSOR ASSESSMENT OF STUDY
  - \* STATEMENT CONCERNING WHO APPROVES PRIOR TO RELEASE OUTSIDE OF TRADOC
  - \* MILESTONES
  - \* POINTS OF CONTACT

Mission orders will not be issued for any studies in the approved study program unless circumstances significantly change approved study guidance.

**Glossary**

**Section 1**  
**Abbreviations**

ASARC	Army System Acquisition Review Council
CG	Commanding General
COEA	Cost and Operational Effectiveness Analysis
CTEA	Cost and Training Effectiveness Analysis
DAB	Defense Acquisition Board
DCS	Deputy Chief of Staff
DCSA	Deputy Chief of Staff for Analysis
DCSBOS	Deputy Chief of Staff for Base Operations Support
DCSCDD	Deputy Chief of Staff for Concepts, Doctrine and Development
DCSIM	Deputy Chief of Staff for Information Management

DCSRM	Deputy Chief of Staff for Resource Management
DCST	Deputy Chief of Staff for Training
DOD	Department of Defense
EA	Economic Analysis
EEA	Essential Elements of Analysis
GOSC	General Officer Steering Committee
IAW	In Accordance With
IPR	In Progress Reviews
MDD	Management Decision Document
MOE	Measures of Effectiveness
MOP	Measure of Performance
MSC	Major Subordinate Command
PSY	Professional Staff Year
PWS	Performance Work Statement
SAG	Study Advisory Group
SSG	Special Study Group
TEA	Training Effectiveness Analysis
TOA	Trade Off Analysis
TRAC	TRADOC Analysis Command
TRADOC	Training and Doctrine Command
USACAC	Combined Arms Command
USACASCOM	Combined Arms and Service Support Command

## Section 2

### Terms

#### Approval Authority

The CG, TRADOC or designated individual tasked to approve a TRADOC study or analysis.

#### Certification

In relation to a study, the determination of its analytical soundness and sufficiency to answer the decision maker's issues.

#### Mission Order

The instrument which tells the study agency to begin a study. The approved Fiscal Year TRADOC Study Program is the mission order for all studies contained therein. For unprogrammed studies, DCSA will issue a mission order as required.

#### Release Authority

The CG, TRADOC or the DCS, HQ TRADOC who approves release of studies and analyses outside of TRADOC.

#### Resourced Study

A valid study requirement that has the in-house manpower and/or funds to accomplish the study. A study may have a portion that can be accomplished with in-house manpower and a portion requiring funds for contract support. If the manpower is available but the funds for the contract support are not, TRADOC may divide the study into two parts (resourced for manpower, unresourced for funds).

#### Staff Action

A staff action is a formal staff paper containing a concise analysis and recommended solution to a specific problem or problem area. It is a result of thorough research and provides the sponsor, or other superiors, a report of the analysis, with conclusions and recommendations.

#### Study Agency

The single TRADOC organization (e.g., MSC, School, TRAC) tasked by the TRADOC study sponsor to produce the study.

#### Study Director

The individual appointed by the study agency to have responsibility for planning, conducting, and completing the study.

#### Study Plan

The administrative document that describes in detail how and when the study agency conducts the study and what organizations will participate.

#### Study Sponsor

The highest level organization (e.g., HQDA, HQ TRADOC, TRADOC MSC, School) establishing the requirement for a study.

FOR THE COMMANDER:

OFFICIAL: JAMES W. VAN LOBEN SELS  
Major General, GS  
Chief of Staff



DAVID G. FITZENZ  
Colonel, GS  
Deputy Chief of Staff for  
Information Management

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